



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/086,089	02/28/2002	Scott P. Schreer	3247/NJJ	3357

26304 7590 02/25/2005

KATTEN MUCHIN ZAVIS ROSENMAN  
575 MADISON AVENUE  
NEW YORK, NY 10022-2585

EXAMINER
----------

SALCE, JASON P

ART UNIT	PAPER NUMBER
----------	--------------

2611

DATE MAILED: 02/25/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

10/086,089

Applicant(s)

SCHREER, SCOTT P.

Examiner

Jason P Salce

Art Unit

2611

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 22 December 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-11 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-11 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 12/22/2004 has been entered.

### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter, which the applicant regards as his invention.

Claim 1 recites the limitation "identification code record" in Line 23. There is insufficient antecedent basis for this limitation in the claim.

The claim is indefinite because the claim has no antecedent basis for the limitation "identification code record". The examiner can only assume that the "identification code record" relates to the "identification record associated with the identification code", and will treat the claim as such upon further examination.

### ***Response to Arguments***

2. Applicant's arguments filed 12/24/2004 have been fully considered but they are not persuasive.

The Applicant and examiner conducted an attorney interview on 12/16/2004, where the examiner was presented with an overview of the system and the amended claims were further discussed. The examiner notes that the claim has been broadened significantly, and furthermore, claim 1 and all subsequent claims have been rendered indefinite for the reason stated below.

Furthermore, Ginter teaches the added limitations of "generating an identification (code) record associated with the identification code and the digital recording file" at Column 23, Lines 43-50 and Figures 5A-5B for the structure of the content, as well as "storing and associating the identification code and data related to the broadcast, based on the identification code record" at see again Column 23, Lines 43-50 and Figures 5A through 5B. Note that the applicant continuously uses the term associated in the claim. The examiner notes that by using the broad limitation "associated", the identification record, identification code, and any data discussed in the claim that is "associated" with another piece of data can be directly or indirectly linked by the use of the broad limitation "associated". Also note that the system taught by Ginter discloses multiple locations where a VDE object can be created and processed in Figure 1, as well as stored and associated with other data (see Column 52-57 for a detailed description of Figure 1A).

Therefore, the references used to reject the claims in the previous Office Action stands.

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-7 and 9-11 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ginter et al. (U.S. Patent No. 6,253,193) in view of Wiser et al. (U.S. Patent No. 6,385,596) in further view of Levine (U.S. Patent No. 6,345,100).

Referring to claim 1, Ginter discloses compensating at least one artist responsible for content being included in a broadcast (see Column 3, Lines 20-24 and Column 4, Lines 8-18).

Ginter also discloses embedding an identification code within a digital audio recording file to produce an encoded digital audio recording file (see Column 130, Lines 7-11 for "embedded" content in a VDE object (see Column 58, Lines 43-46 and Lines 59-64 for further explanation of an object). Also note Column 7, Lines 51-52 for the VDE object containing a digital audio recording file.

Ginter also discloses broadcasting the encoded digital audio recording file as an encoded audio signal, in the broadcast (see again Column 127, Lines 6-8 for "content delivery" over the media and Column 53, Lines 1-10 for broadcasting the information), wherein the transmitting is from a radio or television station broadcast (see Column 14, Lines 5-10), including cable and satellite networks and Internet websites (see Column 18, Lines 60-64).

Ginter also discloses receiving said encoded audio signal by a suitable digital signal-detecting device (see Column 127, Lines 45-49 for sending the VDE object to an electrical appliance).

Ginter also discloses feeding, storing and associating the received and encoded audio signal into a monitoring means (see Column 153, Lines 53-59 for storing registration information relating to the VDE data in a secure database 610) that stores and associates the identification code, and based on said identification code records and stores the identification code (see Column 153, Lines 62-64 for storing data from the VDE object 300) and transmission and broadcast related data in a batch file (see also saving shipping (transmission) and receiving (broadcast) data in tables (batch file) 444 and 446 in Figure 16), said broadcast related data including a date that the encoded audio signal was monitored, a time of day that the encoded audio signal was monitored (Column 155, Lines 22-23), and the duration of the monitored encoded audio signal (see Column 152, Lines 26-27 for a data length, which in the case of an audio file defines how long the song is). Also note the arguments above for Ginter teaching "storing and associating" in regards to the claim limitations.

Ginter teaches compensating a user for his/her work (see Column 3, Lines 20-24 and Column 4, Lines 8-18), but fails to disclose decoding and importing the batch file into a first database that catalogs performance, transmission and broadcast of the encoded audio signal and using the first database to accurately compensate the at least one performance artist responsible for generating content on said digital audio recording file.

Wiser discloses a logging module 1014, which catalogs performance, transmission and broadcast of the encoded audio signal (see Column 23, Lines 18-19 for logging each purchase of a media data file 200, which if purchased are transmitted/broadcasted (see Column 11, Lines 53-55). Wiser also discloses that these logs are used to accurately compensate the at least one performance artist responsible for generating content on said digital audio recording file (see Column 23, Lines 21-30 and Column 11, Lines 55-57 for reporting royalty payments).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art, to modify the VDE system, as taught by Ginter, using the payment and reporting tracking system, as taught by Wiser, for the purpose of allowing music industry participants to protect their copyrights and could be used by rights reporting agencies to bill distributors for royalties associated with the volume of electronic distribution of the media data files (see Column 11, Lines 57-61 of Wiser).

Ginter and Wiser both fail to teach feeding a received and encoded audio signal into a cross phasing means that increases the accuracy of an encoded signal monitoring means.

Levine discloses a data robustness enhancer 1204 (which includes a convolutional encoder 1208), which shifts the watermark data to increase its accuracy for future detection (see Column 17, Lines 16-31).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art, to modify the VDE system with data collection capability, as taught by Ginter and Haggard, using the cross-phasing means (convolutional encoder 1208), for the purpose of increasing the likelihood that the single bit can be retrieved from watermarked audio signal after significant processing is performed upon the watermarked audio signal (see Column 18, Lines 52-55 of Levine).

Claim 2 corresponds to claim 1, where Wiser discloses that the identification code embedded in the audio signal is a digital watermark (see Column 7, Lines 17-19).

Claim 3 corresponds to claim 1, where Ginter discloses embedding the identification code is performed by encoding software (see Column 6, Lines 45-55).

Claim 4 corresponds to claim 1, where Wiser discloses the identification code is in the form of a non-audible digital signal that is not rendered inoperable by one or more generations of analog taping and broadcast compressions (see the rejection of claim 2, which discloses the encoding of a watermark, which is not rendered inoperable by such analog deficiencies).

Claim 5 corresponds to claim 1, where Wiser discloses a second digital work library database to match the embedded identification code with the title of a digital audio work and its associated file information, and importing said title and associated file information from the second digital work library database to the first database (see element 120 in Figure 1 and Column 12, Lines 58-60 for a second database used to store the audio file and descriptive data (see Column 6, Lines 48-65)).



Claim 6 corresponds to claim 5, where Wiser discloses using the embedded identification code to match the digital audio work's title to the recorded and stored transmission or broadcast related data (see Column 14, Lines 52-60 for searching database 120 if the audio file is not stored at content manager 112) and Ginter discloses printing a digital audio work usage report having both the title of the digital audio work and the transmission and broadcast related data (see Column 228, Lines 45-56).

Claim 7 corresponds to claim 1, where the examiner notes that multimedia includes both audio and video, therefore the digital audio recording file further comprises multimedia.

Referring to claims 9-11, see the rejection of claims 1 and 5-6 respectively.

---

4. Claim 8 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ginter et al. (U.S. Patent No. 6,253,193) in view of Wiser et al. (U.S. Patent No. 6,385,596) in further view of Levine (U.S. Patent No. 6,345,100) in further view of BMI (What is a Cue Sheet?).

Referring to claim 8, Ginter, Wiser and Levine all teach the limitations of claim 1, but fail to disclose the use of a cue sheet.

BMI teaches using a cue sheet for keeping track of all the music used in films and on television shows (see Page 1, Third Paragraph for types of information in a cue sheet and Pages 2 and 3 for a sample cue sheet).

Art Unit: 2611

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art, to modify the information being tracked by Ginter, Wiser and Levine, using BMI's cue sheet, as taught by BMI, for the purpose of ensuring its writers and publishers receive the royalties due to them (see Page 1, First Paragraph of BMI).

### ***Conclusion***

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jason P Salce whose telephone number is (703) 305-1824. The examiner can normally be reached on M-Th 8am-6pm (every other Friday off).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Chris Grant can be reached on (703) 305-4755. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

February 7, 2005

  
HAT TRAN  
PRIMARY EXAMINER



## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 12/22/2004 has been entered.

112 TP

### ***Response to Arguments***

2. Applicant's arguments filed 12/24/2004 have been fully considered but they are not persuasive.

The Applicant and examiner conducted an attorney interview on 12/16/2004, where the examiner was presented with an overview of the system and the amended claims were further discussed. The examiner notes that the claim has been broadened significantly, and furthermore, claim 1 and all subsequent claims have been rendered indefinite for the reason stated below.

Specifically, in regards to claim 1, the added amendment states "generating an identification record associated with the identification code and the digital audio recording file" and then further states, "storing and associating the identification code and data related to the broadcast, based on the identification code record as a batch file". (The claim is indefinite because the claim has no antecedent basis for the limitation "identification code record". The examiner can only assume that the "identification code

Art Unit: 2611

record” relates to the “identification record associated with the identification code”, and will treat the claim as such upon further examination.)

Furthermore, Ginter teaches the added limitations of “generating an identification (code) record associated with the identification code and the digital recording file” at Column 23, Lines 43-50 and Figures 5A-5B for the structure of the content, as well as “storing and associating the identification code and data related to the broadcast, based on the identification code record” at see again Column 23, Lines 43-50 and Figures 5A through 5B. Note that the applicant continuously uses the term associated in the claim. The examiner notes that by using the broad limitation “associated”, the identification record, identification code, and any data discussed in the claim that is “associated” with another piece of data can be directly or indirectly linked by the use of the broad limitation “associated”. Also note that the system taught by Ginter discloses multiple locations where a VDE object can be created and processed in Figure 1, as well as stored and associated with other data (see Column 52-57 for a detailed description of Figure 1A).

Therefore, the references used to reject the claims in the previous Final Office Action stand.

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the

Art Unit: 2611

invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-7 and 9-11 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ginter et al. (U.S. Patent No. 6,253,193) in view of Wiser et al. (U.S. Patent No. 6,385,596) in further view of Levine (U.S. Patent No. 6,345,100).

Referring to claim 1, Ginter discloses compensating at least one artist responsible for content being included in a broadcast (see Column 3, Lines 20-24 and Column 4, Lines 8-18).

Ginter also discloses embedding an identification code within a digital audio recording file to produce an encoded digital audio recording file (see Column 130, Lines 7-11 for "embedded" content in a VDE object (see Column 58, Lines 43-46 and Lines 59-64 for further explanation of an object). Also note Column 7, Lines 51-52 for the VDE object containing a digital audio recording file.

Ginter also discloses broadcasting the encoded digital audio recording file as an encoded audio signal, in the broadcast (see again Column 127, Lines 6-8 for "content delivery" over the media and Column 53, Lines 1-10 for broadcasting the information), wherein the transmitting is from a radio or television station broadcast (see Column 14, Lines 5-10), including cable and satellite networks and Internet websites (see Column 18, Lines 60-64).

Ginter also discloses receiving said encoded audio signal by a suitable digital signal-detecting device (see Column 127, Lines 45-49 for sending the VDE object to an electrical appliance).

Ginter also discloses feeding, storing and associating the received and encoded audio signal into a monitoring means (see Column 153, Lines 53-59 for storing registration information relating to the VDE data in a secure database 610) that stores and associates the identification code, and based on said identification code records and stores the identification code (see Column 153, Lines 62-64 for storing data from the VDE object 300) and transmission and broadcast related data in a batch file (see also saving shipping (transmission) and receiving (broadcast) data in tables (batch file) 444 and 446 in Figure 16), said broadcast related data including a date that the encoded audio signal was monitored, a time of day that the encoded audio signal was monitored (Column 155, Lines 22-23), and the duration of the monitored encoded audio signal (see Column 152, Lines 26-27 for a data length, which in the case of an audio file defines how long the song is). Also note the arguments above for Ginter teaching "storing and associating" in regards to the claim limitations.

Ginter teaches compensating a user for his/her work (see Column 3, Lines 20-24 and Column 4, Lines 8-18), but fails to disclose decoding and importing the batch file into a first database that catalogs performance, transmission and broadcast of the encoded audio signal and using the first database to accurately compensate the at least one performance artist responsible for generating content on said digital audio recording file.

Wiser discloses a logging module 1014, which catalogs performance, transmission and broadcast of the encoded audio signal (see Column 23, Lines 18-19

Art Unit: 2611

for logging each purchase of a media data file 200, which if purchased are transmitted/broadcasted (see Column 11, Lines 53-55). Wiser also discloses that these logs are used to accurately compensate the at least one performance artist responsible for generating content on said digital audio recording file (see Column 23, Lines 21-30 and Column 11, Lines 55-57 for reporting royalty payments).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art, to modify the VDE system, as taught by Ginter, using the payment and reporting tracking system, as taught by Wiser, for the purpose of allowing music industry participants to protect their copyrights and could be used by rights reporting agencies to bill distributors for royalties associated with the volume of electronic distribution of the media data files (see Column 11, Lines 57-61 of Wiser).

Ginter and Wiser both fail to teach feeding a received and encoded audio signal into a cross phasing means that increases the accuracy of an encoded signal monitoring means.

Levine discloses a data robustness enhancer 1204 (which includes a convolutional encoder 1208), which shifts the watermark data to increase its accuracy for future detection (see Column 17, Lines 16-31).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art, to modify the VDE system with data collection capability, as taught by Ginter and Haggard, using the cross-phasing means (convolutional encoder

1208), for the purpose of increasing the likelihood that the single bit can be retrieved from watermarked audio signal after significant processing is performed upon the watermarked audio signal (see Column 18, Lines 52-55 of Levine).

Claim 2 corresponds to claim 1, where Wiser discloses that the identification code embedded in the audio signal is a digital watermark (see Column 7, Lines 17-19).

Claim 3 corresponds to claim 1, where Ginter discloses embedding the identification code is performed by encoding software (see Column 6, Lines 45-55).

Claim 4 corresponds to claim 1, where Wiser discloses the identification code is in the form of a non-audible digital signal that is not rendered inoperable by one or more generations of analog taping and broadcast compressions (see the rejection of claim 2, which discloses the encoding of a watermark, which is not rendered inoperable by such analog deficiencies).

Claim 5 corresponds to claim 1, where Wiser discloses a second digital work library database to match the embedded identification code with the title of a digital audio work and its associated file information, and importing said title and associated file information from the second digital work library database to the first database (see element 120 in Figure 1 and Column 12, Lines 58-60 for a second database used to store the audio file and descriptive data (see Column 6, Lines 48-65).

Claim 6 corresponds to claim 5, where Wiser discloses using the embedded identification code to match the digital audio work's title to the recorded and stored transmission or broadcast related data (see Column 14, Lines 52-60 for searching



Art Unit: 2611

database 120 if the audio file is not stored at content manager 112) and Ginter discloses printing a digital audio work usage report having both the title of the digital audio work and the transmission and broadcast related data (see Column 228, Lines 45-56).

Claim 7 corresponds to claim 1, where the examiner notes that multimedia includes both audio and video, therefore the digital audio recording file further comprises multimedia.

Referring to claims 9-11, see the rejection of claims 1 and 5-6 respectively.

---

4. Claim 8 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ginter et al. (U.S. Patent No. 6,253,193) in view of Wiser et al. (U.S. Patent No. 6,385,596) in further view of Levine (U.S. Patent No. 6,345,100) in further view of BMI (What is a Cue Sheet?).

Referring to claim 8, Ginter, Wiser and Levine all teach the limitations of claim 1, but fail to disclose the use of a cue sheet.

BMI teaches using a cue sheet for keeping track of all the music used in films and on television shows (see Page 1, Third Paragraph for types of information in a cue sheet and Pages 2 and 3 for a sample cue sheet).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art, to modify the information being tracked by Ginter, Wiser and

Levine, using BMI's cue sheet, as taught by BMI, for the purpose of ensuring its writers and publishers receive the royalties due to them (see Page 1, First Paragraph of BMI).

### ***Conclusion***

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jason P Salce whose telephone number is (703) 305-1824. The examiner can normally be reached on M-Th 8am-6pm (every other Friday off).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Chris Grant can be reached on (703) 305-4755. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

February 7, 2005